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U.S. PATENT APPLICATION
FOR AN
INTELLIGENT SPAM DETECTION SYSTEM USING
STATISTICAL ANALYSIS

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INTELLIGENT SPAM DETECTION SYSTEM USING STATISTICAL ANALYSIS

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RELATED APPLICATION(S)

The present application is related to a co-pending application entitled "INTELLIGENT SPAM DETECTION SYSTEM USING AN UPDATEABLE NEURAL ANALYSIS ENGINE" which was invented by Anton C. Rothwell, Luke D. Jagger, William R. Dennis, and David R. Clarke, filed concurrently herewith under attorney docket number NAIIP023/01.152.01.

FIELD OF THE INVENTION

10 The present invention relates to SPAM detection methods, and more particularly to intelligently detecting and removing SPAM.

BACKGROUND OF THE INVENTION

15 The rapid increase in the number of users of electronic mail and the low cost of distributing electronic messages, for example, via the Internet and other communications networks has made mass marketing via electronic mail ("e-mail") an attractive advertising medium. Consequently, e-mail is now frequently used as the medium for widespread marketing broadcasts of unsolicited messages to e-mail
20 addresses, commonly known as "SPAM."

Electronic mass marketers (also called "spammers") use a variety of techniques for obtaining e-mail address lists. For example, marketers obtain e-mail addresses from postings on various Internet sites such as news group sites, chat room sites, or directory services sites, message board sites, mailing lists, and by identifying "mailto" address
5 links provided on web pages. Using these and other similar methods, electronic mass marketers may effectively obtain large numbers of mailing addresses, which become targets for their advertisements and other unsolicited messages.

Users of Internet services and electronic mail, however, are not eager to have
10 their e-mail boxes filled with unsolicited e-mails. This is an increasing problem for Internet service providers (ISPs) such as America Online (AOL®) or Microsoft Network (MSN®) and other entities with easily identifiable e-mail addresses such as large corporations (e.g., IBM®, Microsoft®, General Motors®, etc.). ISPs object to junk mail because it reduces their users' satisfaction of their services. Corporations want
15 to eliminate junk mail because it reduces worker productivity.

To date, the prior art has been devoid of mechanisms that can block SPAM effectively. Traditionally, SPAM detection has been based around specific rules for detecting it. Such rules include searching for key phrases in the subject headers,
20 determining whether the recipient is actually on the list of users to receive the e-mail, etc.

More particularly, text search mechanisms are often used which rely on a centralized list of particular known strings. The strings on such list are usually specific
25 trade names, products, sender, etc. As such, any variation in future spamming content results in a miss. Thus, what is needed is a process for detecting unwanted SPAM electronic mail messages in a more intelligent manner.

DISCLOSURE OF THE INVENTION

A system, method and computer program product are provided for detecting an unwanted message. First, an electronic mail message is received. Text in the electronic
5 mail message is decomposed. Statistics associated with the text are gathered using a statistical analyzer. The statistics are analyzed for determining whether the electronic mail message is an unwanted message.

In one aspect of the present embodiment, the statistics gathered using the
10 statistical analyzer include one or more of the following: a ratio of words capitalized to total number of words, a punctuation to word ratio, a number of URLs in the text, a number of (toll free) telephone numbers in the text, results of an analysis of a URL in the text, results of an analysis of e-mail addresses in the text, results of an analysis of character type (i.e. Unicode), and results of a message header field analysis.

15 The statistics can be placed in a results table. Entries in the table are passed as inputs to a neural network engine. Preferably, the statistics are compared to predetermined weights in the neural network engine for determining whether the electronic mail message is an unwanted message.

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BRIEF DESCRIPTION OF THE DRAWINGS

5 Figure 1 illustrates a network architecture in accordance with the one embodiment.

Figure 2 shows a representative hardware environment associated with the computers of Figure 1.

10 Figure 3 is a flow diagram of a process for detecting an unwanted message.

Figure 4 depicts an illustrative architecture according to an embodiment.

15 Figure 5 is a flowchart of a process for teaching a neural network engine to recognize an unwanted message.

Figure 6 is a flow diagram depicting processing performed by the neural network engine.

20 Figure 7 illustrates a system for allowing a user to teach the neural network engine to recognize unwanted messages.

DESCRIPTION OF THE PREFERRED EMBODIMENTS

Figure 1 illustrates a network architecture 100, in accordance with the one
5 embodiment. As shown, computers 102 of remote users are connected to a network
104. The remote users send electronic mail messages (e-mail) to local users, who
receive them on computers 106. In the context of the present network architecture, the
network may take any form including, but not limited to a local area network (LAN), a
wide area network (WAN) such as the Internet, etc. The computers can include a
10 desktop computer, laptop computer, hand-held computer, etc.

The e-mail passes through a gateway 108 which analyzes the messages to
determine whether they are SPAM prior to allowing the message to pass to the local
users. In one embodiment, the gateway 108 may include an Internet gateway, intranet
15 gateway, Internet proxy, intranet proxy, or any other type of intermediate device. The
gateway includes a statistical analyzer 110 and a neural network engine 112.

In use, the statistical analyzer decomposes the electronic messages to determine
an amount of various SPAM indicators (i.e. capitalization, punctuation, URLs, phone
20 numbers, etc.). Instead of using static rule-based logic to accept or reject the electronic
messages based on the results of the statistical analyzer, the results of the parsing are
passed to the neural network engine. The neural network engine can be used in
combination with the statistical analyzer to accept or deny electronic messages. An
administrator 114 in communication with the gateway can be allowed to manipulate
25 operation of the gateway and its components.

Figure 2 shows a representative hardware environment that may be associated
with the remote source 102 and/or target 106 of Figure 1, in accordance with one

embodiment. Such figure illustrates a typical hardware configuration of a workstation in accordance with a preferred embodiment having a central processing unit 210, such as a microprocessor, and a number of other units interconnected via a system bus 212.

5 The workstation shown in Figure 2 includes a Random Access Memory (RAM) 214, Read Only Memory (ROM) 216, an I/O adapter 218 for connecting peripheral devices such as disk storage units 220 to the bus 212, a user interface adapter 222 for connecting a keyboard 224, a mouse 226, a speaker 228, a microphone 232, and/or other user interface devices such as a touch screen (not shown) to the bus 212, communication
10 adapter 234 for connecting the workstation to a communication network 235 (e.g., a data processing network) and a display adapter 236 for connecting the bus 212 to a display device 238.

 The workstation may have resident thereon an operating system such as the
15 Microsoft Windows NT or Windows/95 Operating System (OS), the IBM OS/2 operating system, the MAC OS, Linux or other UNIX operating system. It will be appreciated that a preferred embodiment may also be implemented on platforms and operating systems other than those mentioned. A preferred embodiment may be written using JAVA, C, and/or C++ language, or other programming languages, along with an
20 object oriented programming methodology. Object oriented programming (OOP) has become increasingly used to develop complex applications.

SPAM DETECTION

25 Figure 3 is a flow diagram of a process 300 for detecting an unwanted message. In operation 302, an electronic mail message is received. Text in the electronic mail message is decomposed in operation 304. Statistics associated with the text are gathered in operation 306 using a statistical analyzer. In operation 308, a neural

network engine coupled to the statistical analyzer is taught to recognize unwanted messages based on statistical indicators. The statistics are analyzed in operation 310 utilizing the neural network engine for determining whether the electronic mail message is an unwanted message.

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According to another embodiment, a method is provided by which it is possible to accurately detect SPAM by applying statistical calculations against the text content of the message and supply the results of the application of the calculations and the message text contents itself into a neural network engine. The neural network then attempts to
10 determine whether the message is SPAM or not based on what the neural network has learned in the past and/or by comparison with an existing set of known SPAM. An additional mechanism can be provided so that a user can return a message to the SPAM engine and mark it as SPAM (or not SPAM) to provide the engine with an on-going learning capability.

15

ARCHITECTURE

Figure 4 depicts an illustrative gateway architecture 400 according to an embodiment. The e-mail 402 arrives from the Internet 404 at the word decomposer 406,
20 which breaks the text content into words and punctuation. The parsed text is then supplied to the statistical analyzer 408 which creates a table of variables relating to the message, e.g.: Total Number of words, Number of words capitalized, Punctuation to word ratio etc. See Table 1 and related discussion, below.

25

This table along with the decomposed word list is supplied to the neural network 410 which provides a weighting, or probability, that the message is SPAM, partially based on known patterns of SPAM messages stored in a pattern database 412. If the message is determined to be SPAM, it is quarantined in a quarantine database 414. If

the message is determined not to be SPAM, the message is sent to a mail forwarder 416, which forwards the message to a user 418.

STATISTICAL WORD ANALYZER

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The Statistical Word Analyzer attempts to build some key facts about the text content. The facts are based on certain characteristics that users/administrators have determined could represent SPAM. Such characteristics are set forth in Table 1.

10

Table 1

15

20

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- Excessive capitalization
- Excessive punctuation
- Use of URLs and/or toll free numbers within text
- Text analysis by Unicode character type categorization
- URL analysis - checking for use of IP address rather than fully qualified name, and excessive numeric or symbol characters instead of alphabetic.
- E-mail address analysis - Checking for valid Internet addresses and excessive numeric or symbol characters instead of alphabetic. Also the absence of a From: or To: field or the presence of a large number of listed recipients in the case of an SMTP message.
- SMTP message header field analysis (Routing analysis for example)

30

Such characteristics are set forth in Example 1 which shows exemplary SPAM.

Example 1

To:
From:
Subject: \$\$\$

5 There are other ways to make money!

 This product produces 50% of all the money made on the
 Internet!

10 Now for the first time, it is brought to you retail!
 People like you are making
 \$600-\$4,000
 per week in CASH with this product!
 No selling! Not MLM! All CASH!!

15 Call Toll Free 1-888-555-6837 to find out more!!!

 Only a few people per area will be selected to provide
 this revolutionary
 product!

20 So act fast and be the first one in your area, and make
 the most money!!! Isn't
 it time you earn
 what you are worth? Aren't you tired of making someone
 else rich? Well, here is
25 your chance to
 make YOU RICH!!!
 No selling! Not MLM! All CASH!!

30 Call now Toll Free 1-888-555-6837 24 HRS!!!

 Fortunes have been made with this product, and fortunes
 will be made again with
 this new retail
 version! Remember, get in at the beginning, the first ones
35 in get the best locations!

 Call Toll Free 1-888-555-6837 if all reps are busy, leave
 your name and number

and your call will
be returned in a few minutes!!!

Visit our website at:
http://192.168.3.1/93156483333954/~homepage/~john

A results table from analysis of the message of Example 1 is presented in Table 2.

Table 2

Number of whole words capitalized to total words ratio	3.3%
Total punctuation to word ratio	23%
% of ! in punctuation	69%
% of \$	4%
% of ?	4%
URL properties: <ul style="list-style-type: none">▪ Number of URL's present.▪ IP address instead of fully qualified domain▪ Total numeric/symbol to alphabetic characters ratio (not including the IP address)	1 True 50%
E-mail address properties: <ul style="list-style-type: none">▪ Sender specified▪ Number of recipients▪ Number of recipients falls outside of accepted boundaries (e.g. > 1 and < 5).	False 0 True

At this point, the program segment shown in Example 2 may be used.

Example 2

```
If words_capitalized >5% and total_punc>20%
  And perc_plink >50% And URL analysis fails
  And E-mail address analysis fails Then
    This is spam
Else
    This is not Spam
End If
```

However, questions may arise as to whether the above analysis is accurate for all SPAM, whether the percentages are right, or whether the test variables are the correct ones to use.

5

Because this task is difficult to do using a fixed algorithm, the statistical analysis ends at this point and this data is passed to the Neural Network engine to determine patterns in statistics and words, and use these to determine whether the message is SPAM based on comparing the patterns to patterns predetermined to be SPAM or non-
10 SPAM. The greater the number of variables in the statistics table, the easier it is for the Artificial Intelligence engine (AI) to "learn" to differentiate between SPAM and genuine messages.

The AI solution provides two goals. In particular, the AI is used to produce a set
15 of rules that can be used in an existing AI engine. Further, the AI engine is used as a standalone gateway for determining which messages are SPAM.

Table 3 illustrates various steps and/or functions to achieving these goals.

20

Table 3

25

Pre-train the system with known SPAM from an archive of known SPAM, such as <http://www.annexia.org/spam/> "The Great Spam Archive".

30

User Interface (UI) modification of the AI. A point and click UI where an existing e-mail is selected and displayed to be made an example of. Rules are constructed from the areas of the example mail that classify it as SPAM.

Application of a tiered approach, in which the user sends the message to an administrative area. An administrator utilizes the UI to notify the engine.

5 Artificial Intelligence introduced to make decisions based on previous Administrative input. This may include statistical or pattern-matching intelligence and would automatically update the rule-base.

10 Artificial Intelligence taken a level further, where grammatical and language decisions are made based on previous human-input to provide automatic generation of a rule-base.

15 System opened up to internal users with encryption method for trusted SPAM identification by the users.

NEURAL NETWORK ENGINE

The statistics table is passed as inputs to the Artificial Neural Network (ANN).

20 The preferred ANN is a Supervised Learning type, though other types can be used. In this type, a "teacher" (user, administrator, or computer application) shows examples of inputs that the engine will receive paired with desired outputs. An error value is produced between the desired and actual responses, which should reduce as the learning progresses.

25

Figure 5 is a flowchart of a process 500 for teaching a neural network engine to recognize an unwanted message. In operation 502, examples are provided to a neural network engine. The examples are of wanted messages and unwanted messages. Each of the examples is associated with a desired output. In operation 504, each of the
30 examples is processed with statistics for generating weights for the statistics. Each of the weights is used to denote wanted and unwanted messages. Logic associated with the

neural network engine is updated in operation 506 based on the processing by the neural network engine.

In the SPAM context, there are two sets of inputs: First, an archive containing only SPAM is inputted, and secondly an archive containing only genuine (non-SPAM) messages is inputted. Known SPAM can be obtained from various online resources (<http://www.annexia.org/spam/> "The Great Spam Archive"). The teacher may automatically and randomly pick messages from either archive and supply them (with the statistical table) to the ANN together with a value for SPAM or non-SPAM. This continues until the archives are exhausted. A very large data set possibly consisting of over 500,000 messages is preferred.

Each input message is expressed as a vector, each variable from the statistic table being a feature variable in the vector. Note Table 4.

Table 4

	Capitals
X=	Punctuation
	Dollars
...	

Figure 6 is a flow diagram depicting processing performed by the ANN. The most appropriate form of ANN would be an Adaptive Linear Combiner (ALC) 600, which allows the presentation of input vectors X 602 and desired responses d 604 to the ALC. This will adjust weights until outputs a 606 are close to the desired responses.

After the learning process has taken place, the Engine can be deployed into the gateway situation. All associated vectors, matrices and weights to be used with the ALC can be stored permanently on disk.

The gateway could also be used to monitor intercommunication between Internet servers for tighter company-wide security, such as for preventing outbreak, SPAM, hacking attempts, etc. Such functionality can extend to the whole Internet community.

5

In addition to the pre-learning, there can also be an interactive learning mechanism while the gateway is active. This is discussed in the next section.

USER TEACHING MECHANISM

10

Some users of the system will be given permissions to allow teaching the Spam Engine when new mail arrives. Figure 7 illustrates the system that allows such teaching.

A typical sequence of actions using the system would be as follows. E-mail 702 is received by a user teacher 704, but the e-mail has been marked incorrectly as clean. The user returns the e-mail 706 back to the Gateway 708 but indicates the desired response as "Spam." A learner 710 in the Gateway receives the e-mail and desired response. The Gateway stores the e-mail creating a unique ID for it. The Gateway sends a new e-mail 712 to the user. The new e-mail contains a unique ID contained within a URL to the Feature Editor (Java Applet) 714. The user clicks on URL and indicates which features of the text of the e-mail make it SPAM. Preferably, the user is allowed to select the parts of the mail that clearly define it to be SPAM/offensive (e.g. subject, body, sender, attachments etc) and then within each part refine it down to the data elements to search on for CF filtering (set of words, file name / type for attachment, sender domain etc).

25 The results of the user input are passed into a feature queue 716.

The new features are not applied directly to the Statistical Analyzer/AI Engine 718 in one embodiment because the ANN would have to be reset and re-learn its mail

archive 720. Instead, a batch teacher 722 schedules an entire learning run at a scheduled interval with additional features from the feature queue. A secondary ANN 724 is used so that the primary ANN can stay active and continue to process e-mail while the secondary ANN is learning. When the learning process is finished, the primary ANN becomes the secondary ANN and vice versa. The AI Engine is then initialized with the new features.

The AI engine could optionally be configured to divide SPAM into different confidence levels, e.g. Definitely SPAM, definitely not SPAM and possibly SPAM. The possibly SPAM would still be forwarded to the recipient, but also copied to a user teacher for feeding manual categorization in future training.

More information regarding the neural network engine may be found with reference to a co-pending application entitled "INTELLIGENT SPAM DETECTION SYSTEM USING AN UPDATEABLE NEURAL ANALYSIS ENGINE" filed concurrently herewith under attorney docket number NAI1P023/01.152.01, and which is incorporated herein by reference in its entirety.

While various embodiments have been described above, it should be understood that they have been presented by way of example only, and not limitation. Thus, the breadth and scope of a preferred embodiment should not be limited by any of the above-described exemplary embodiments, but should be defined only in accordance with the following claims and their equivalents.